

# **VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS** **(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)

UL TR TECH 01

Applicant or Patentee: Shaw et al.  
 Serial or Patent No.: \_\_\_\_\_  
 Filed or Issued: \_\_\_\_\_  
 Title: Collapsible Self-Expanding Liquid Container

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN UltraTech International, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 11711-2 Phillips Highway  
Jacksonville, FL 32256

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Mark D. ShawTITLE OF PERSON IF OTHER THAN OWNER Vice PresidentADDRESS OF PERSON SIGNING 11711-2 Phillips Highway, Jacksonville, FL 32256SIGNATURE [Signature] DATE 7-27-94

Applicant or Patentee: Shaw et al.

Serial or Patent No.: \_\_\_\_\_

Attorney's

Docket No.: ULTRTECH 01

Filed or Issued: \_\_\_\_\_

For: Collapsible Self-Expanding Liquid Container

# VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9 (f) and 1.27 (b)) — INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled Collapsible Self-Expanding Liquid Container described in

☒ the specification filed herewith

☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9 (c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☐ no such person, concern, or organization

☒ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME UltraTech International, Inc.

ADDRESS 11711-2 Phillips Highway, Jacksonville, FL 32256

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Mark D. Shaw  
NAME OF INVENTOR

J. Tad Heyman  
NAME OF INVENTOR

Laurence M. Bierce  
NAME OF INVENTOR

[Signature]  
Signature of Inventor

[Signature]  
Signature of Inventor

[Signature]  
Signature of Inventor

7-27-94  
Date

7-27-94  
Date

7/27/94  
Date

Name of Inventor Dorian T. True, III

Signature of Inventor Dorian T. True III

Date 7-28-94

Name of Inventor Marion L. Jones, Jr.

Signature of Inventor Marion L. Jones Jr.

Date 2-28-94

DECLARATION FOR PATENT APPLICATION

Docket No. ULTRATHO1

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled Collapsible Self-Expanding Liquid Container, the specification of which

(check one) ☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as  
Application Serial No. \_\_\_\_\_ (if applicable).  
and was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

(Number)	(Country)	(Day/Month/Year Filed)	Yes	No
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing Date)	(Status—patented, pending, abandoned)
(Application Serial No.)	(Filing Date)	(Status—patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

1 Thomas C. Saitta, Reg. No. 32,102  
Address all telephone calls to same at telephone no. (904) 296-5825  
Address all correspondence to Law Office of Thomas C. Saitta  
6821 Southpoint Dr. North  
Suite 203  
Jacksonville, FL 32216

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1.50 Full name of sole or first inventor Mark D. Shaw Date 7-27-94  
Inventor's signature [Signature]  
Residence 9820 PRESTON TRAIL WEST, PONTE VERA, FL 32082 Citizenship USA  
Post Office Address FL

2.00 Full name of second joint inventor, if any J. Tad Heyman Date 7-27-94  
Second Inventor's signature [Signature]  
Residence 11858 Old Oak Ct. N. Citizenship USA  
Post Office Address Jacksonville, FL 32223 FL

(Supply similar information and signature for third and subsequent joint inventors.)

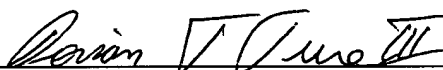
3. Full Name of Third Joint Inventor Laurence M. Bierce

Third Inventor's Signature  Date 7/27/94

Residence 105 SANDRA RD Citizenship USA

Post Office Address JACKSONVILLE, FL 32256 FL

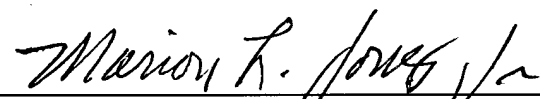
4. Full Name of Fourth Joint Inventor Dorian T. True III

Fourth Inventor's Signature  Date 7-28-94

Residence 2421 PER SIMMON RD Citizenship USA

Post Office Address AUGUSTA, GA 30904 GA

5. Full Name of Fifth Joint Inventor Marion L. Jones, Jr.

Fifth Inventor's Signature  Date 7-28-94

Residence 108 Oakhurst Dr. Citizenship USA

Post Office Address North Augusta, S.C. 29841 SC